



IAPD Report

TIMOTHY PATRICK FEELEY

CRD# 4179652

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

TIMOTHY PATRICK FEELEY (CRD# 4179652)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **10/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	10/01/2012
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	06/27/2017

QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **53** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	CHASE INVESTMENT SERVICES CORP.	25574	CHICAGO, IL	02/16/2007 - 10/01/2012
B	J.P. MORGAN SECURITIES INC.	18718	NEW YORK, NY	02/11/2005 - 02/01/2007

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Criminal	3



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **53** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**
Main Address: 270 PARK AVENUE
NEW YORK, NY 10017
Firm ID#: 79

Regulator	Registration	Status	Date
B 24X National Exchange LLC	General Securities Principal	Approved	10/31/2025
B 24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B 24X National Exchange LLC	Securities Trader	Approved	10/31/2025
B 24X National Exchange LLC	Securities Trader Principal	Approved	10/31/2025
B BOX Exchange LLC	General Securities Representative	Approved	10/04/2012
B BOX Exchange LLC	General Securities Principal	Approved	12/11/2013
B BOX Exchange LLC	Registered Options Principal	Approved	10/18/2016
B BOX Exchange LLC	Securities Trader	Approved	11/30/2016
B BOX Exchange LLC	Securities Trader Principal	Approved	11/30/2016
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	09/25/2017
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	11/11/2015
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/11/2015
B Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	11/11/2015



Qualifications

Regulator	Registration	Status	Date
B Cboe BYX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	11/11/2015
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/11/2015
B Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	11/11/2015
B Cboe BZX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	10/28/2024
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	10/04/2012
B Cboe C2 Exchange, Inc.	Securities Trader Principal	Approved	11/11/2015
B Cboe C2 Exchange, Inc.	Securities Trader	Approved	01/04/2016
B Cboe C2 Exchange, Inc.	Registered Options Principal	Approved	10/18/2016
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	09/25/2017
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	08/02/2021
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	11/11/2015
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/11/2015
B Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	11/11/2015
B Cboe EDGA Exchange, Inc.	Securities Trader	Approved	01/04/2016
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	09/25/2017
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	11/11/2015
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/11/2015



Qualifications

Regulator	Registration	Status	Date
B Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	11/11/2015
B Cboe EDGX Exchange, Inc.	Securities Trader	Approved	01/04/2016
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	09/25/2017
B Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	10/28/2024
B Cboe Exchange, Inc.	General Securities Representative	Approved	10/04/2012
B Cboe Exchange, Inc.	Securities Trader Principal	Approved	11/11/2015
B Cboe Exchange, Inc.	Securities Trader	Approved	01/04/2016
B Cboe Exchange, Inc.	Registered Options Principal	Approved	10/18/2016
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	09/25/2017
B Cboe Exchange, Inc.	General Securities Principal	Approved	08/02/2021
B FINRA	General Securities Representative	Approved	10/01/2012
B FINRA	General Securities Principal	Approved	12/11/2013
B FINRA	Securities Trader	Approved	01/04/2016
B FINRA	Securities Trader Principal	Approved	01/04/2016
B FINRA	Registered Options Principal	Approved	10/18/2016
B FINRA	Municipal Securities Representative	Approved	06/29/2017
B FINRA	Municipal Securities Principal	Approved	07/31/2017
B FINRA	General Securities Sales Supervisor	Approved	09/25/2017
B Investors' Exchange LLC	General Securities Representative	Approved	08/30/2016



Qualifications

Regulator	Registration	Status	Date
B Investors' Exchange LLC	General Securities Principal	Approved	08/31/2016
B Investors' Exchange LLC	Securities Trader	Approved	09/06/2016
B Investors' Exchange LLC	Securities Trader Principal	Approved	09/07/2016
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	04/27/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B Long-Term Stock Exchange, Inc.	Securities Trader	Approved	04/27/2020
B Long-Term Stock Exchange, Inc.	Securities Trader Principal	Approved	04/27/2020
B MEMX LLC	General Securities Principal	Approved	02/16/2021
B MEMX LLC	General Securities Representative	Approved	02/16/2021
B MEMX LLC	General Securities Sales Supervisor	Approved	02/16/2021
B MEMX LLC	Securities Trader	Approved	02/16/2021
B MEMX LLC	Securities Trader Principal	Approved	02/16/2021
B MEMX LLC	Registered Options Principal	Approved	06/16/2023
B MIAX Emerald, LLC	General Securities Principal	Approved	03/19/2019
B MIAX Emerald, LLC	General Securities Representative	Approved	03/19/2019
B MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	03/19/2019
B MIAX Emerald, LLC	Registered Options Principal	Approved	03/19/2019

**Qualifications**

Regulator	Registration	Status	Date
B MIAX Emerald, LLC	Securities Trader	Approved	03/19/2019
B MIAX Emerald, LLC	Securities Trader Principal	Approved	03/19/2019
B MIAX PEARL, LLC	General Securities Principal	Approved	02/07/2017
B MIAX PEARL, LLC	General Securities Representative	Approved	02/07/2017
B MIAX PEARL, LLC	Securities Trader	Approved	02/07/2017
B MIAX PEARL, LLC	Securities Trader Principal	Approved	02/07/2017
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	09/25/2017
B MIAX PEARL, LLC	Registered Options Principal	Approved	10/28/2024
B MIAX Sapphire	General Securities Principal	Approved	09/23/2024
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B MIAX Sapphire	General Securities Sales Supervisor	Approved	09/23/2024
B MIAX Sapphire	Securities Trader	Approved	09/23/2024
B MIAX Sapphire	Securities Trader Principal	Approved	09/23/2024
B MIAX Sapphire	Registered Options Principal	Approved	10/28/2024
B Miami International Securities Exchange, LLC	General Securities Principal	Approved	11/11/2015
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	11/11/2015
B Miami International Securities Exchange, LLC	Securities Trader Principal	Approved	11/11/2015
B Miami International Securities Exchange, LLC	Securities Trader	Approved	01/04/2016



Qualifications

Regulator	Registration	Status	Date
B Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	09/25/2017
B Miami International Securities Exchange, LLC	Registered Options Principal	Approved	10/28/2024
B NYSE American LLC	General Securities Representative	Approved	10/04/2012
B NYSE American LLC	General Securities Principal	Approved	12/11/2013
B NYSE American LLC	Securities Trader Principal	Approved	11/11/2015
B NYSE American LLC	Securities Trader	Approved	01/04/2016
B NYSE American LLC	Registered Options Principal	Approved	10/18/2016
B NYSE American LLC	Municipal Securities Representative	Approved	06/29/2017
B NYSE American LLC	Municipal Securities Principal	Approved	07/31/2017
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	10/04/2012
B NYSE Arca, Inc.	General Securities Principal	Approved	12/11/2013
B NYSE Arca, Inc.	Securities Trader Principal	Approved	11/11/2015
B NYSE Arca, Inc.	Securities Trader	Approved	01/04/2016
B NYSE Arca, Inc.	Registered Options Principal	Approved	10/18/2016
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	09/25/2017
B NYSE National, Inc.	General Securities Principal	Approved	05/18/2018
B NYSE National, Inc.	General Securities Representative	Approved	05/18/2018



Qualifications

Regulator	Registration	Status	Date
B NYSE National, Inc.	Municipal Securities Principal	Approved	05/18/2018
B NYSE National, Inc.	Municipal Securities Representative	Approved	05/18/2018
B NYSE National, Inc.	Securities Trader	Approved	05/18/2018
B NYSE National, Inc.	Securities Trader Principal	Approved	05/18/2018
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	10/28/2024
B NYSE Texas, Inc.	General Securities Representative	Approved	10/04/2012
B NYSE Texas, Inc.	General Securities Principal	Approved	12/11/2013
B NYSE Texas, Inc.	Securities Trader Principal	Approved	11/11/2015
B NYSE Texas, Inc.	Securities Trader	Approved	01/04/2016
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	10/28/2024
B Nasdaq GEMX, LLC	General Securities Representative	Approved	08/06/2013
B Nasdaq GEMX, LLC	General Securities Principal	Approved	12/11/2013
B Nasdaq GEMX, LLC	Securities Trader Principal	Approved	11/11/2015
B Nasdaq GEMX, LLC	Securities Trader	Approved	01/04/2016
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq GEMX, LLC	Registered Options Principal	Approved	10/28/2024
B Nasdaq ISE, LLC	General Securities Representative	Approved	10/04/2012
B Nasdaq ISE, LLC	General Securities Principal	Approved	12/11/2013
B Nasdaq ISE, LLC	Securities Trader Principal	Approved	11/11/2015



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	Securities Trader	Approved	01/04/2016
B Nasdaq ISE, LLC	Registered Options Principal	Approved	10/18/2016
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B Nasdaq MRX, LLC	General Securities Principal	Approved	04/05/2016
B Nasdaq MRX, LLC	Securities Trader	Approved	04/07/2016
B Nasdaq MRX, LLC	Securities Trader Principal	Approved	04/07/2016
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq MRX, LLC	Registered Options Principal	Approved	10/28/2024
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/04/2012
B Nasdaq PHLX LLC	General Securities Principal	Approved	12/11/2013
B Nasdaq PHLX LLC	Securities Trader Principal	Approved	11/11/2015
B Nasdaq PHLX LLC	Securities Trader	Approved	01/04/2016
B Nasdaq PHLX LLC	Registered Options Principal	Approved	10/18/2016
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/25/2017
B Nasdaq Stock Market	General Securities Representative	Approved	10/04/2012
B Nasdaq Stock Market	General Securities Principal	Approved	12/11/2013
B Nasdaq Stock Market	Securities Trader Principal	Approved	11/11/2015
B Nasdaq Stock Market	Securities Trader	Approved	01/04/2016



Qualifications

Regulator	Registration	Status	Date
B Nasdaq Stock Market	Registered Options Principal	Approved	10/18/2016
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	09/25/2017
B Nasdaq Texas, LLC	General Securities Representative	Approved	10/04/2012
B Nasdaq Texas, LLC	General Securities Principal	Approved	12/11/2013
B Nasdaq Texas, LLC	Securities Trader Principal	Approved	11/11/2015
B Nasdaq Texas, LLC	Securities Trader	Approved	01/04/2016
B Nasdaq Texas, LLC	Registered Options Principal	Approved	10/18/2016
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	09/25/2017
B New York Stock Exchange	General Securities Representative	Approved	10/04/2012
B New York Stock Exchange	General Securities Principal	Approved	12/11/2013
B New York Stock Exchange	Securities Trader	Approved	01/04/2016
B New York Stock Exchange	Securities Trader Principal	Approved	01/04/2016
B New York Stock Exchange	Municipal Securities Representative	Approved	06/29/2017
B New York Stock Exchange	Municipal Securities Principal	Approved	07/31/2017
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Alabama	Agent	Approved	10/01/2012
B Alaska	Agent	Approved	10/01/2012
B Arizona	Agent	Approved	10/01/2012
B Arkansas	Agent	Approved	10/01/2012



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	10/01/2012
B Colorado	Agent	Approved	10/01/2012
B Connecticut	Agent	Approved	10/01/2012
B Delaware	Agent	Approved	10/01/2012
B District of Columbia	Agent	Approved	10/01/2012
B Florida	Agent	Approved	10/01/2012
B Georgia	Agent	Approved	10/01/2012
B Hawaii	Agent	Approved	10/01/2012
B Idaho	Agent	Approved	10/01/2012
B Illinois	Agent	Approved	10/01/2012
IA Illinois	Investment Adviser Representative	Approved	06/27/2017
B Indiana	Agent	Approved	10/01/2012
B Iowa	Agent	Approved	10/01/2012
B Kansas	Agent	Approved	10/01/2012
B Kentucky	Agent	Approved	10/01/2012
B Louisiana	Agent	Approved	10/01/2012
B Maine	Agent	Approved	10/01/2012
B Maryland	Agent	Approved	10/01/2012



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	10/01/2012
B Michigan	Agent	Approved	10/01/2012
B Minnesota	Agent	Approved	10/01/2012
B Mississippi	Agent	Approved	10/01/2012
B Missouri	Agent	Approved	10/01/2012
B Montana	Agent	Approved	10/01/2012
B Nebraska	Agent	Approved	10/01/2012
B Nevada	Agent	Approved	10/01/2012
B New Hampshire	Agent	Approved	10/01/2012
B New Jersey	Agent	Approved	10/01/2012
B New Mexico	Agent	Approved	10/01/2012
B New York	Agent	Approved	10/01/2012
B North Carolina	Agent	Approved	10/01/2012
B North Dakota	Agent	Approved	10/01/2012
B Ohio	Agent	Approved	10/01/2012
B Oklahoma	Agent	Approved	10/01/2012
B Oregon	Agent	Approved	10/01/2012
B Pennsylvania	Agent	Approved	10/01/2012
B Puerto Rico	Agent	Approved	10/01/2012



Qualifications

Regulator	Registration	Status	Date
B Rhode Island	Agent	Approved	10/01/2012
B South Carolina	Agent	Approved	10/01/2012
B South Dakota	Agent	Approved	10/01/2012
B Tennessee	Agent	Approved	10/01/2012
B Texas	Agent	Approved	10/01/2012
IA Texas	Investment Adviser Representative	Approved	06/28/2017
B Utah	Agent	Approved	10/01/2012
B Vermont	Agent	Approved	10/01/2012
B Virgin Islands	Agent	Approved	06/30/2015
B Virginia	Agent	Approved	10/01/2012
B Washington	Agent	Approved	10/01/2012
B West Virginia	Agent	Approved	10/01/2012
B Wisconsin	Agent	Approved	10/01/2012
B Wyoming	Agent	Approved	10/01/2012

Branch Office Locations

J.P. MORGAN SECURITIES LLC
10 S Dearborn St, Floor 13
Chicago, IL 60603








Qualifications

PASSED INDUSTRY EXAMS





This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 5 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	07/31/2017
 Registered Options Principal Examination (S4)	Series 4	10/18/2016
 General Securities Principal Examination (S24)	Series 24	12/11/2013

General Industry/Product Exams

Exam	Category	Date
 Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/10/2005

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	06/20/2017
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/06/2005



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	02/16/2007 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
B	02/11/2005 - 02/01/2007	J.P. MORGAN SECURITIES INC.	CRD# 18718	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2012 - Present	J.P. MORGAN SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Criminal	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 3

Reporting Source:	Individual
Court Details:	STATE: IL CITY: MACOMB CIRCUIT COURT OF 9TH JUDICIAL COURT CASE#: 93-TR-738
Charge Date:	12/28/1993
Charge Details:	CHARGE: 1 COUNT OF "UNLAWFUL POSSESSION OF ALCOHOL WITH FALSE ID"; MISDEMEANOR; GUILTY PLEA
Felony?	No
Current Status:	Final
Status Date:	12/28/1993
Disposition Details:	A. GUILTY PLEA B. 12/28/93 C. CONDITIONAL DISCHARGE D. 1 YEAR E. 1/26/94 F. \$237 G. 5/28/94
Broker Statement	BECUASE ALCOHOL WAS FOUND AND CONSUMED AT THE TIME OF THE ARREST, THE OFFICER INCLUDED THE CHARGE OF UNLAWFUL POSSESSION OF ALCOHOL. MATTER TERMINATED ON 1/25/95

Disclosure 2 of 3

Reporting Source:	Individual
Court Details:	STATE: IL CITY: MACOMB CIRCUIT COURT OF 9TH JUDICIAL CIRCUIT



CASE#: 93-OV-459

Charge Date: 12/08/1993
Charge Details: CHARGE: 1 COUNT "OBSTRUCTING A PEACE OFFICER"; MISDEMEANOR;
GUILTY PLEA
Felony? No
Current Status: Final
Status Date: 12/28/1993
Disposition Details: A. GUILTY PLEA
B. 12/28/93
C. CONDITIONAL DISCHARGE
D. 1 YEAR
E. 1/26/94
F. \$251
G. 5/28/04

Broker Statement CHARGE GIVEN TO ME FROM OFFICER BECAUSE IN HIS OPINION, HE FELT, BECAUSE I HAD A FALSE ID, IT WAS INTERFERENCE WITH A POLICE OFFICER. MATTER TERMINATED ON 1/25/95.

Disclosure 3 of 3

Reporting Source: Individual
Court Details: STATE: IL
CITY: MACOMB
CIRCUIT COURT OF 9TH JUDICIAL CIRCUIT, IL
CASE# 93-TR-4092

Charge Date: 12/04/1993
Charge Details: CHARGE: 1 COUNT OF "UNLAWFUL POSSESSION OF A FALSE IDENTIFICATION CARD."; MISDEMEANOR; GUILTY PLEA
Felony? No
Current Status: Final
Status Date: 12/28/1993
Disposition Details: A. GUILTY
B. 12/28/1993
C. CONDITIONAL DISCHARGE
D. 1 YEAR
E. 1/26/94
F. \$263
G. 5/28/04

Broker Statement I WAS A FRESHMAN IN COLLEGE WHEN I WAS FIRST ARRESTED FOR POSSESSING A FAKE ID. THERE IS NO CURRENT STATUS, OR FINAL DISPOSITION, FOR IT HAS BEEN 13 YEARS SINCE IT OCCURRED AND WAS RESOLVED. WHEN I WAS HIRED WITH BANK ONE OVER 7 YEARS AGO, I WAS ASKED TO RETREIVE COURT DOCUMENTS FOR BANK ONE COMPLIANCE AND THE NASD, FOR WHICH I HAVE SINCE COMPLIED WITH. IF ANY COURT RECORDS OR DOCUMENTS ARE NEEDED, BANK ONE OR THE NASD SHOULD HAVE THEM AVAILABLE ON FILE. MATTER TERMINATED ON 1/25/95.



End of Report

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